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AUTHOR Eiseman, Jeffrey W.; And Others
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ABSTRACT

The process of the implementation and institutionalization of change is examined in this training module for school leaders. Based on a combination of theory and practice, five activities are conducted at two levels: an awareness level to introduce concepts; and an action level for more experienced participants. Activity modules include indicators of institutionalization, assessing readiness for institutionalization, identification of supportive and constraining factors, institutionalization dilemmas, and development of institutional plans. Appendices include handouts and overhead masters, evaluation forms, trainer instructions, and worksheets. (LMI)

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The School Improvement Leader

Four Perspectives on Change in Schools

Making Sure It Sticks: The School Improvement Leader's Role in Institutionalizing Change

Jeffrey W. Eiseman
Douglas S. Fleming
Deborah S. Roody

U.S. DEPARTMENT OF EDUCATION
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The Regional Laboratory
for Educational Improvement of the Northeast and Islands
300 Brickstone Square, Suite 900, Andover, Massachusetts 01810

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Foreword

The School Improvement Leader: Four Perspectives on Change in Schools is a set of four training modules. Each module covers a particular aspect of effective leadership. Topics include:

- Coaching Secrets for School Leaders
- Lessons from the Business Literature
- The Role of Teams in Implementing School Improvement Plans
- Making Sure It Sticks: The School Improvement Leader's Role in Institutionalizing Change

The modules are designed to complement and build on one another, so there is a minimum amount of overlap between them. Yet each can stand alone if a trainer wishes to focus on a single aspect of leadership at any one time.

We've strived for a combination of theory and practice, so that workshop participants gain data-based knowledge on which to build before they apply learnings. Each unit contains at least one brief reading that synthesizes the research on that topic. A master copy suitable for reproduction is provided for every reading, and we recommend that participants be provided with copies of these readings, either before, during, or at the conclusion of each unit.

It is anticipated that each module will take four to six hours to complete -- this might be in a full-day workshop, two half-day workshops, or a series of shorter sessions. We've provided a variety of support materials to accommodate trainers' various presentation/facilitation styles and time constraints. Support materials include masters that can be used to make flipcharts, overhead projection transparencies, or handouts. Each module also contains a response form for workshop leaders to use to ask participants to evaluate their training experience. Trainers' instructions clearly guide but do not dictate any particular method of presentation.

Taken together or as individual professional development modules, the four research-based programs represent timely and useful frameworks for strengthening leadership for school improvement. They are intended for use with traditional school leaders as well as those who now share leadership at the district or building level -- mentor teachers, master teachers, those sharing decision making, and anyone else playing a leadership role.

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The School Improvement Leader's Role
in Institutionalizing Change

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Introduction

Making Sure It Sticks: The School Improvement Leader's Role in Institutionalizing Change

Module Purpose and Objectives

The purpose of this module is to help school leaders understand that part of the change process involves keeping a new practice in place. That is what we mean by institutionalizing change. Of the five activities suggested, the first four provide the background and basis for the fifth, which offers an opportunity for participants to transfer learning to actual situations.

Each activity contains materials for two levels: a *beginner or awareness level* that introduces participants to the major concepts and research about institutionalization; and an *action level* for participants who have some experience with implementing school improvement plans and for whom the concept of institutionalization will be somewhat familiar. Directions for each activity suggest approaches for both levels.

As presented, awareness-level activities should take about a half-day; action level activities, approximately six hours.

	Awareness Level (Minutes)	**Action Level** (Minutes)
Introduction	10	10
Activity 1	45	60
Activity 2	10	45-60
Activity 3	30-50	60-80
Activity 4	55-60	50-55
Activity 5	35-40	80
Wrap Up	20	20
	205-235	325-385
	3 1/2 - 4 hours	5 1/2 - 6 1/2 hours

After an appropriate warmup activity, the workshop leader should share with participants the workshop objectives, which are listed below in an abbreviated form and on the overhead masters on the following pages.

At the **awareness level**, the module helps participants to meet the following objectives:

- to know what institutionalization means
- to understand the steps that precede institutionalization
- to understand what promotes and interferes with institutionalization
- to grapple with three institutionalization dilemmas
- to begin to plan how to institutionalize an innovation in their district by identifying necessary resources

At the **action level**, objectives are for participants

- to describe indicators that a practice has been institutionalized
- to determine if their school or district is ready to institutionalize an innovation
- to identify factors that support and threaten the institutionalization of an innovation that has been successfully implemented; to plan ways to avoid danger points
- to discuss three institutionalization dilemmas
- to develop an institutionalization plan

The overhead masters that follow may help the leader present an overview. Additional overhead and handout masters are found following the description of each activity.

The following pages also provide

- an overhead with a definition of institutionalization
- an outline of the entire module
- a sample evaluation form for participants to complete at the close of the workshop

In addition, as background reading for the trainer we've included a reprint of the article "Strategic Planning Issues That Bear on the Success of School Improvement Efforts" (Crandall, Eiseman, and Louis 1986). This article concentrates on issues faced in the parts of the change process that precede institutionalization -- the initiation and implementation phases. The article won the 1988 William J. Davis Award as the outstanding article of Volume 22 of *Educational Administration Quarterly*.

Workshop Objectives

- Define institutionalization
- Understand preceding steps
- What promotes and interferes
- Three dilemmas
- Plan how to do it

Workshop Objectives

- Describe indicators
- Determine if you are ready
- Identify supports and threats
- Three dilemmas
- Develop a plan

Module Outline

Introduction

1. Indicators of Institutionalization

2. Knowing When To Institutionalize

3. Factors That Support and Threaten

4. Dilemmas of Institutionalization

5. Planning for Institutionalization

Making Sure It Sticks: The School Improvement Leader's Role in Institutionalizing Change

-- Response Form --

We would appreciate your taking a few minutes to complete this questionnaire about this workshop. Your honest feedback helps us plan future programs.

1. In general how would you rate this workshop?

Poor		Okay		Excellent
1	2	3	4	5

2. Was the information relevant to your needs?

Off the mark		Somewhat		On Target
1	2	3	4	5

3. The organization and presentation of the sessions were:

Confusing		Okay		Clear
1	2	3	4	5

4. Through this workshop I gained: *(please circle)*

Practices Materials Programs Contacts Ideas

5. How do you intend to use what you've learned?

6. What was the best thing about the workshop?

What was the least helpful?

7. Additional comments:

Thank you for your feedback.

ACTIVITY 1

Indicators of Institutionalization

The purpose of this activity is to create a context for, and to develop clarity regarding what is meant by, institutionalization.

In setting the context for both the *awareness* and *action* levels the trainer should talk about institutionalization as the third phase of the process of installing an innovation or a change within a system. Brief descriptions are given below, and the article "Strategic Planning Issues That Bear on the Success of School Improvement Efforts" provides useful background information on what is involved in the three phases.

> The first phase, during which an organization decides to adopt an innovation, is INITIATION; during this phase the organization obtains the necessary materials, provides initial training for staff, announces the new practice, and in general prepares to use the innovation.
>
> The second phase is IMPLEMENTATION, during which members of the organization actually begin to *use* the innovation. This stage is characterized by a period of "mechanical" (and sometimes awkward) use. During this period the difficulties that arise through actual experience reveal themselves. Through problem solving, further training, demonstrations, and/or minor changes in the innovation, users eventually grow into a more routine or automatic use of the innovation. Concerns about impact on students (or other groups who are intended to benefit) develop, and further alterations in implementation may result as users work to gain maximum outcomes.
>
> Successfully implemented innovations may die at this point unless organizations pay attention to INSTITUTIONALIZATION, the process by which the practice or practices of an innovation become embedded in operating procedures.

Typically schools and other organizations are good at initiation and implementation and often feel that use alone will be enough to entrench an innovation into the system. However, to ensure that an innovation will weather the storms of new priorities, changes in leadership, staff turnover, and competition from other, newer innovations, attention to institutionalization is critical.

What, then, is INSTITUTIONALIZATION? There are six indicators:

- ACCEPTANCE by relevant actors; a perception that the innovation LEGITIMATELY belongs.

- STABLE, ROUTINIZED implementation.
- WIDESPREAD USE of the innovation throughout the school, district, or other organization.
- Firm expectations that the PRACTICE WILL CONTINUE within the organization.
- PERSON INDEPENDENCE, i.e., continuation does not depend upon the actions of specific individuals but upon organizational culture, structure, or procedures.
- ROUTINE allocations of TIME and MONEY.

I. Awareness Level

We suggest that the trainer spend about 45 minutes to acquaint participants with the meaning of institutionalization by discussing the indicators listed above and on the overhead master provided. To clarify the meaning of each factor, illustrate it with an example. You might want to break the ice and get participants involved in an enjoyable exercise by starting with a common household innovation, like the automatic dishwasher or VCR. As a group, generate a list of indicators that its use has been institutionalized in a household.

A single classroom innovation like the use of computers to teach the process of writing in an elementary school also provides a manageable and understandable illustration. Such an example is briefly outlined below for trainers' use, but any similarly clear example from the trainer's own experience will do just as well. It is important to provide good direction and set participants on the right path in this opening exercise, for it establishes a solid base. By suggesting a trainer "lecturette" here, we do not intend that participants not be invited to offer their own examples; we wish merely to emphasize the importance of having the examples clarify the concepts.

Institutionalizing the use of computers to teach the process of writing in an elementary school: The innovation is that students engage in writing as a process rather than a product and that they use the computer in prewriting, writing, and revising activities -- as well as to produce final copy.

- If this practice had been institutionalized in a school, one would find ACCEPTANCE of it by relevant actors, including expressions of its benefits, a belief in its utility, and regular use.
- Teachers would ROUTINELY expect and require that students use computers for their writing and that they engage in prewriting, writing, and revising activities as a matter of course.
- One would find WIDESPREAD evidence in the building that writing is a process. For example, in a majority of the classrooms at each grade level, writing instruction would use computers to teach writing as a process.

- Firm expectations that the PRACTICE WILL CONTINUE are evidenced by someone having and carrying out the responsibility of maintaining hardware, software, and supplies; and staff development planners would routinely plan training in process writing and in computer use for new or transferring teachers as well as enrichment and support for experienced teachers.

- PERSON INDEPENDENCE can be achieved by writing the new practice into the curriculum, so one would look for curriculum guidelines for each grade to see that process writing using a computer is included. One would also look to see if a *position* (as opposed to an *individual*) has been assigned to coordinate the practice.

- One would also expect to find line items in the budget for purchase of necessary materials for this program and/or assignment of responsibility for overseeing its implementation and continuation in a specific job description -- ROUTINE allocations of MONEY and TIME.

II. Action Level

For participants who are already familiar with the terms above, this activity should serve as a refresher and a reminder of the importance of these factors. The following suggested activity will take approximately one hour:

Distribute to each participant the handout "Indicators of Institutionalization." Divide participants into groups of 3-5. Provide each group with newsprint and a marker with which to record their discussion. (If the workshop is attended by teams that are currently implementing an innovation, those teams may benefit by working together throughout this workshop.) Give the groups time (15-20 minutes) to develop examples of the six indicators. You might suggest that participants try to use examples of something they are working on institutionalizing at the moment. If any group is stuck, you might suggest a common innovation, e.g., one of those suggested for the *awareness level* above. Circulate during their discussion and reinforce strong examples or correct misconceptions if any group is missing the target.

To end the activity, ask participants to display their newsprint and to report explanations that they (and you, through your eavesdropping) think are particularly strong. Allow about 30 minutes for this report out. Offer examples to clarify areas where you suspect misunderstanding; it is essential that participants begin this module with correct perceptions. Ask all the groups whether there are any questions about any of the indicators. After responding to the questions, summarize the activity by mentioning that the more indicators that are in place, the more confident you can be that a practice has been institutionalized. Displaying the newsprint pages makes them available to refer to again and again throughout the workshop, serving as a reminder of these critical factors and what they mean.

Indicators of Institutionalization

ACCEPTANCE by relevant actors; it LEGITIMATELY belongs

STABLE, ROUTINIZED use

WIDESPREAD USE

Firm expectations that the PRACTICE WILL CONTINUE

PERSON INDEPENDENCE

ROUTINE allocations of TIME and MONEY

ACTIVITY 2

When To Institutionalize an Innovation

The next natural question to ask after "What is institutionalization?" is "When should an organization institutionalize a practice?"

I. Awareness Level

At the awareness level, we suggest a brief (10-minute) activity that serves to alert participants that they need to think about the appropriate time to institutionalize a practice. Before it decides to make any practice a permanent part of its program, an organization should have the following in place:

1. a well-defined problem or improvement goal
2. a practice or program that appropriately solves the problem or meets the goal
3. the correct implementation of the innovation
4. measurable results
5. evidence that circumstances still require implementation of the program or practice

Without having taken these steps, an organization runs the risk of entrenching a program that may not -- or may no longer -- meet its needs, even if it was correctly implemented. The list of items above is provided on the handout/overhead, "Knowing When To Institutionalize."

To dwell on this activity with an inexperienced group is likely to become too academic -- better to move on to Activity 3 once an awareness of timing issues is established.

II. Action Level

"Knowing When To Institutionalize," the overhead/handout for the *awareness level* may help the trainer introduce this activity at the *action level.*

Since participants at the action level should have in mind a program or practice that their organization might institutionalize, the handout "When To Institutionalize" lists key questions to answer about a particular innovation. These questions are:

1. Before your school or district adopted this program or practice did you do a needs assessment to determine that you had identified the right problem or goal?

   Was the program the result of a mandate, either state or local?

2. Are you sure that you identified the correct program or solution to meet the goal or mandate or solve the problem? What criteria did you use? How does the program or solution meet those criteria?

3. Has the program/solution resulted in the desired or anticipated changes? If yes, what changes have occurred as a result of implementing the program?

   If no, given the scope of the innovation, have you been implementing long enough to get the expected results?

   Is it possible that you are not implementing in a way to get the expected results?

   What percent of the entire staff is using the innovation?

4. Have the "bugs" been worked out of the practice? Explain. What evidence do you have?

5. Have the circumstances that prompted the innovation (the mandate or the needs or goals you identified) changed substantially since the program was implemented? If yes, in what ways?

6. Do demographic or other data suggest that your school or district will undergo significant change in the immediate future that could affect the effectiveness of this innovation? If yes, how will they affect the innovation?

7. Has your school or district looked to see if there are other programs that meet the original need or goal? If so, are you considering implementing any of them?

We suggest that you offer participants a chance to discuss the questions on the handout and to add any others that seem appropriate given their experience. Completing the handout and conducting the large group discussion should require 45-60 minutes.

Knowing When To Institutionalize

Things that need to be in place to be ready:

1. a WELL-DEFINED PROBLEM or goal

2. a practice or program that appropriately SOLVES THE PROBLEM or meets the goal

3. correct IMPLEMENTATION of the innovation

4. measurable RESULTS

5. evidence that CIRCUMSTANCES STILL REQUIRE the program or practice

When To Institutionalize

Before moving to institutionalize an innovation, it is important to stop and ask if this innovation is the right one, and if so, is the organization ready to institutionalize it? How do we know we're ready?

The checklist that follows should help you ask the necessary questions before you move to make an innovation a permanent part of your program.

1. Before your school or district adopted this program or practice did you do a needs assessment to determine that you had identified the right problem or goal? _____ State the problem or goal.

   Was the program the result of a mandate, either state or local?

2. Are you sure that you identified the correct program or solution to meet the goal or mandate or solve the problem? _____ What criteria did you use?

   How does the program or solution meet those criteria?

3. Has the program/solution resulted in the desired or anticipated changes? _____ If yes, what changes have occurred as a result of implementing the program?

   If no, given the scope of the innovation, have you been implementing long enough to get the expected results? _____

   Is it possible that you are not implementing in a way to get the expected results? _____

   What percent of the entire staff is using the innovation? _____

4. Have the "bugs" been worked out of the practice? _____ Explain. What evidence do you have?

5. Have the circumstances that prompted the innovation (the mandate or the needs or goals you identified) changed substantially since the program was implemented? _____ If yes, in what ways?

6. Do demographic or other data suggest that your school or district will undergo significant change in the immediate future that could affect the effectiveness of this innovation? _____ If yes, how will they affect the innovation?

7. Has your school or district looked to see if there are other programs that meet the original need or goal?_____ If so, are you considering implementing any of them?

ACTIVITY 3

Factors That Support and Threaten Successful Implementation and Institutionalization

I. Awareness Level

The purpose of this activity is to help participants understand those factors that support and those that threaten institutionalization. A brief but very substantive reading, "Institutionalization," is provided. We suggest the trainer be thoroughly familiar with the reading (as well as the article provided for the trainer, "Strategic Planning Issues That Bear on the Success of School Improvement Efforts") and lead a discussion that brings out the major points of the article.

Discussion could start with a brief introduction of the topic followed by a request that participants suggest factors that they think will inhibit or enhance institutionalization. It is highly likely that participants will suggest many of the factors mentioned in the reading:

Some Factors That Support Institutionalization

- administrative pressure
- mandates
- administrative commitment
- stabilization of use
- assistance
- commitment of users
- mastery by users
- user effort
- percentage of use
- organizational change

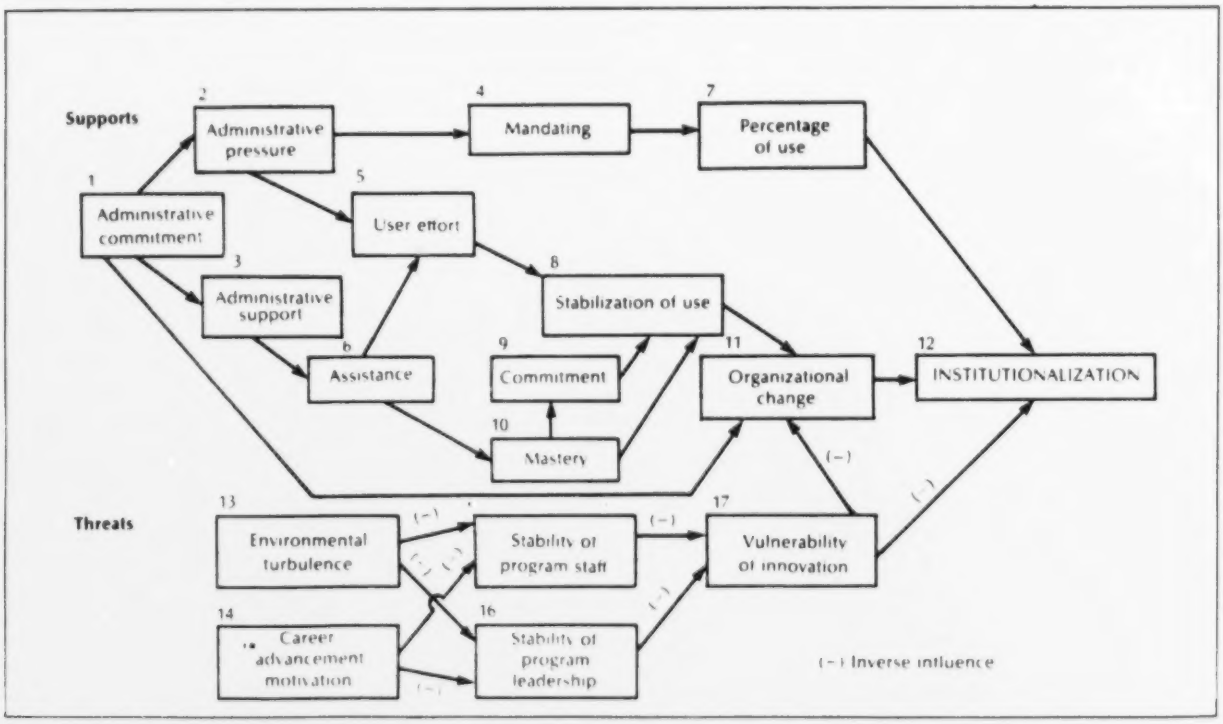
Some Factors That Threaten Successful Institutionalization

- environmental turbulence
- career advancement motivation
- (in)stability of program staff
- (in)stability of program leadership
- vulnerability of the innovation

The trainer can then confirm their suggestions and immediately project the overheads showing the factors. Another overhead lists key points from the article:

- Institutionalization doesn't just happen.
- Planning for institutionalization should take place during the initiation phase.
- Mastery isn't enough for an innovation to stick.
- There are factors that both support and threaten institutionalization.

And another shows "A Data-Grounded Model of Institutionalization."



Discussion should take about 30 minutes. If the trainer prefers to give participants time to read the article before the discussion, allow 45-50 minutes overall.

II. Action Level

For participants who have in mind an innovation that they would like to institutionalize, this activity is intended to engage them in the process of learning several of the factors that support or threaten institutionalization as well as how the factors influence each other and the process.

We suggest that participants be divided into small groups or that they assemble into their original teams. Distribute the reading "Institutionalization" and the handout "Determining the Relationship between Factors That Support and Threaten Institutionalization." Also project or distribute the lists of "Some Factors That Support Institutionalization" and "Some Factors That Threaten Successful Institutionalization."

Review the directions on the handout to be sure that all participants understand the task at hand, which is to "discover" the relationships between the factors that support and threaten institutionalization. Allow about 20 minutes for the reading, 30-45 minutes for the mapping activity, and 10-15 minutes for reporting out, sharing the diagrams, and summarizing. The overhead listing four key points from the "Institutionalization" reading can be used to summarize.

Institutionalization

> *Many an innovation brought in with great fanfare is superficially accepted, and months or years later, things have drifted back to the way they were before. Nobody may have openly resisted the change. Nobody revoked it. It just didn't last. . . .*
>
> source unknown

Although the research on innovation implementation has heightened our understanding of and sensitivity to the important elements of change that must be considered if one hopes to successfully launch a new program within an educational setting, the final phase of the change process, institutionalization, has only recently begun to receive attention commensurate with its importance.

Institutionalization marks the final transition of a project or program to an acceptable part of the district's or school's regular operation. It is the critical last step in the process of change, the end result of the prior phases of adoption, initiation, and implementation. But it is not a natural result of these phases. It simply will not happen without planning and effort.

As Huberman and Crandall remark:

> In the chronicle of research on dissemination and use of educational practices, we first put our chips on adoption, then on implementation. It turns out that these investments are lost without deliberate attention to the institutional steps that lock an innovation into the local setting. New practices that get built into the training, regulatory, staffing and budgetary cycle survive; others don't. Innovations are highly perishable goods. Taking institutionalization for granted -- assuming somewhat magically that it will happen by itself, or will necessarily result from a technically mastered, demonstrably effective project -- is naive and usually self-defeating.

"Ideally," suggest Loucks-Horsley and Hergert, "planning maintenance of your program should be thought about in the first stage . . . along the way." Forethought enables one to make decisions critical to ensuring that a successful program "becomes a part of the ongoing life of the district."

Yet in order to plan for this stage, one must have some understanding of the variables related to successful institutionalization. As critical as this stage is to the long-term continuation of any new program or project, it is only recently that research is bringing us a better understanding of just what those variables are.

Miles, who reviewed the literature in search of answers that would explain why some innovations get "built in" to the life of the school or district and others don't, concluded that early research and conventional wisdom tend to suggest

> that a "good," well-mastered innovation that its users endorse or support will somehow just stay around. There has been overemphasis on user ownership, involvement, and technical skill; the organizational-level structural and procedural changes required for institutionalization have stayed vague and mysterious.

In the field study component of the Study of Dissemination Efforts Supporting School Improvement (DESSI) (Crandall and Associates; Huberman and Miles), Miles and others[1] examined improvement processes in 12 schools in rural, suburban, and urban settings in ten states. A focus for these examinations was those organizational conditions that support institutionalization.

From their data they were able to extract a list of 20 key variables that seemed to be involved in the institutionalization process. They then selected from these 20 variables 15 considered most crucial to the process and assembled them into a general model of institutionalization. A critical assumption undergirding the model is that "institutionalization must be approached by providing supports and by warding off threats" (Miles).

As described in Miles' article "Unraveling the Mystery of Institutionalization," those factors that they found supported institutionalization include:

- administrative pressure
- mandates
- administrative commitment
- stabilization of use
- assistance
- commitment of users
- mastery by users
- user effort
- percentage of use
- organizational change

Those factors that they found threaten successful institutionalization include:

- environmental turbulence
- career advancement motivation
- (in)stability of program staff
- (in)stability of program leadership
- vulnerability of the innovation

[1] Michael Huberman and Matt Miles, with Beverly Lou Taylor and Jo Ann Goldberg.

Miles' model begins with *administrative commitment* -- a necessary but insufficient condition for high institutionalization. Analysis of the DESSI sites suggests clearly that high administrative commitment tends to lead to both *administrative pressure* on users to implement the innovation, along with *administrative support*, which often shows up in the form of *assistance* to users. Both the pressure and the assistance tend to lead to increased *user effort*. Researchers repeatedly found that the harder people worked at an innovation, the more *committed* they grew; that commitment was also fueled by increasing technical *mastery* of the innovation.

Commitment and mastery both lead toward increasing *stabilization of use*; the innovation has "settled down" in the system. That stabilization is also aided if administrators decide to *mandate the innovation,* which also naturally increases the *percentage of use* to something approaching 100 percent of eligible users; that in itself decisively encourages institutionalization. But there is one more critical factor. Where administrators were committed, they also took direct action to bring about *organizational change* -- changes beyond those the stabilized innovation had already brought. In particular, they worked at the "passages" and "cycles" by altering the structure and approach of inservice training, writing the innovation's requirements into job descriptions, making new budget lines, appointing permanent coordinators for the innovation, and making sure that needed materials and equipment would continue to be available in succeeding years.

Also these supports for institutionalization made empirical sense in the DESSI sites. But the lesson of low-institutionalizing sites is that positive supports are not enough. It is necessary to ward off threats to the durability of the innovation. In the DESSI sites, these threats arose from two sources. First, there was *environmental turbulence*, usually in the form of funding cuts or losses, but sometimes in the form of shifting or shrinking student populations. Second, the researchers saw *career advancement motivation*, the genuine desire of professionals to move on to new challenges. Both served as threats to institutionalization, because they *destabilized* both *program staff* and *leadership*. If not protected against these threats, the innovation can be threatened.

In an analysis of Miles' work, Hord and Hall note that:

> This useful model illuminates our understanding of the variables involved in institutionalization, as defined by organizational conditions, user effort, and innovation vulnerability. The analysis identifies factors that contribute to or predict that institutionalization will occur, or that the innovation has "settled down." In this regard, Miles has increased our understanding of this poorly understood phase of change.

However, there still remained the question of what institutionalization means in terms of what individual users do with an innovation in their typical classroom practice.

As we devote more attention to institutionalization, we begin to see it not simply as a last step in the change process, but rather as

> the goal to be reached through initiation and implementation activities. Further, institutionalization requires maintenance, and policy development must support this premise. The reality to be recognized is that institutionalization has its beginnings in the initiation phase of the change process; the various subprocesses are intertwined and must be attended to concurrently. Until policy makers take a broad view of the process of change, develop policies that support all of the subprocesses, and clearly articulate an operational definition of the "mature" implementor who has achieved institutionalization, we are not likely to achieve success in reaching institutionalization, which, of course, precludes maintaining it or continuation of it (Hord and Hall).

But for these requisites to be realized requires the cooperation of two important sets of players: teachers and district officials. Both represent key groups within a school system whose support is critical if a program is to become part of the standard educational repertoire at both the district and classroom levels (Berman and McLaughlin). This "teacher-administrator" harmony was also identified by Miles as critical to successful institutionalization efforts.

Berman and McLaughlin state that, to be secure, "pilot practices had to be used regularly by teachers, become identified as part of the standard district educational repertoire, and receive the necessary district budget, personnel, service and facility support. . . . " In their review of change agent projects they found that only when "these requisites were met did a change agent project lose its special status and become institutionalized."

It was clear in the DESSI sites that administrators and teachers live in separate worlds. Administrators push, demand, support, and think about the organization; teachers react, get involved, struggle with the demands of the innovation, and think about their lives with students. It was very clear that an underlying variable we call teacher-administrator harmony was critical for success. Working relations between administrators and teachers had to be clear and supportive enough that the pressures and stresses of incorporating something new could be managed together. Thus, both teacher mastery/commitment and administrative action are critical before institutionalization and linkage between them can be achieved.

"People," state Fullan and Pomfret, "are much more difficult to deal with than things; they are also much more necessary for success."

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Key Points about Institutionalization

- Institutionalization doesn't just happen.
- Plan during initiation.
- Mastery isn't enough.
- There are factors that both support and threaten institutionalization.

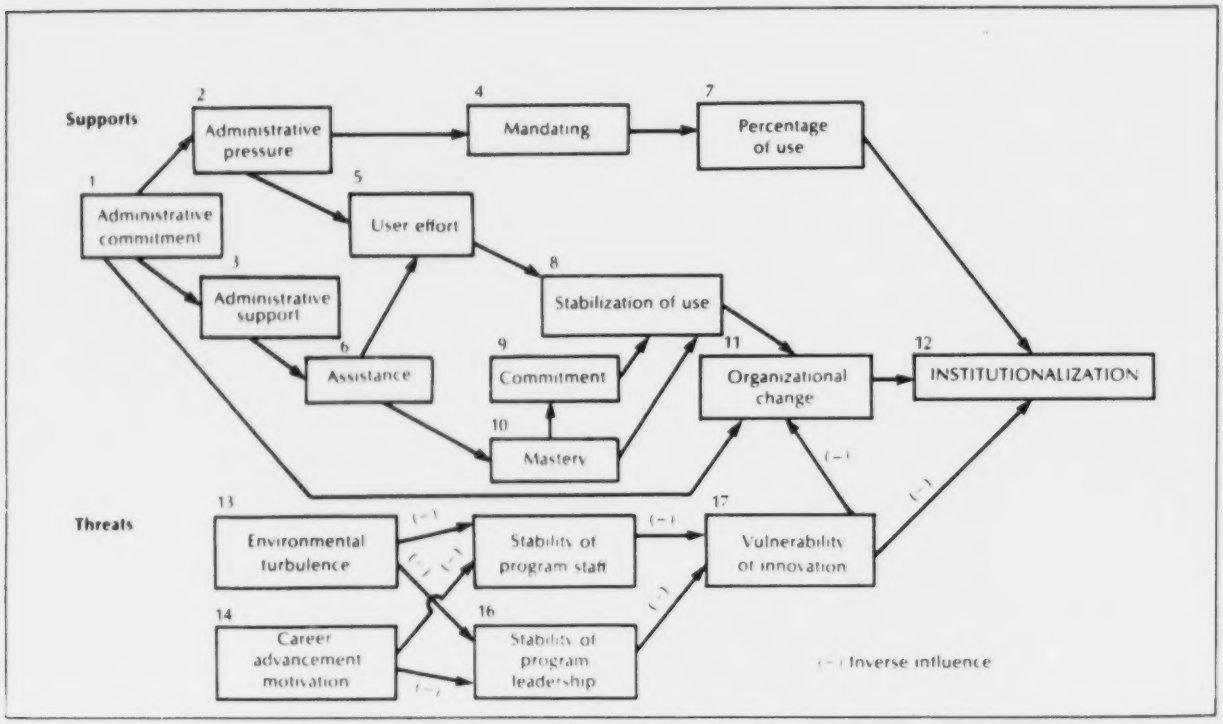
Factors That Support Institutionalization

- administrative pressure
- mandates
- administrative commitment
- stabilization of use
- assistance
- commitment of users
- mastery by users
- user effort
- percentage of use
- organizational change

Factors That Threaten Institutionalization

- environmental turbulence
- career advancement motivation
- (in)stability of program staff
- (in)stability of program leadership
- vulnerability of the innovation

A Data-Grounded Model of Institutionalization



from Miles, M.B. "Unraveling the Mystery of Institutionalization," *Educational Leadership* 41, 3 (November 1983):14-19.

Determining the Relationship between Factors That Support and Threaten Institutionalization

The purpose of this activity is for you to engage with several factors that support and threaten institutionalization and to understand how they influence each other and the chances of an innovation becoming institutionalized.

1. Begin by forming small discussion/work groups.

2. Read the four-page article called "Institutionalization."

3. When you have read the article once, turn to page 2. Using the lists on page 2 and/or the lists provided in a handout or overhead, "Factors That Support Institutionalization" and "Factors That Threaten Successful Institutionalization," develop a diagram that shows how each factor influences another or others. Use arrows to show influence. An arrow drawn from box A to box B, for example, means that factor A influences factor B. Negative influences can be indicated by a different color, dotted lines, or (-) along the arrows. The three paragraphs that follow the two lists in the reading provide guidance.

   For example, we know from the reading that *administrative commitment* leads to *administrative support* and *administrative pressure* as well as to *organizational change.* Therefore three arrows need to flow from "administrative commitment" -- one to "administrative support," a second to "administrative pressure," and a third to "organizational change." As you read the three paragraphs on pages 2 and 3, the other relationships will suggest themselves for representation. The final outcome should be "institutionalization."

4. When your group has worked out a diagram, draw it on a sheet of newsprint and be prepared to explain positions and relationships to the larger group.

ACTIVITY 4

Institutionalization Dilemmas

Building on the discussion in Activity 3, remind participants 1) of the difference between implementation and institutionalization, 2) that some of the factors that lead to successful implementation also lead to effective institutionalization (e.g., administrative pressure and support, teacher commitment), and 3) that some choices that increase the likelihood of implementation will decrease the likelihood of successful institutionalization (e.g., career advancement motivation).

Thus there are dilemmas to be considered as school leaders make now-or-later decisions regarding implementation and institutionalization. For example:

> **DILEMMA 1. Teacher's Pet?** Should innovations be given a special status and exemptions from certain policy guidelines during implementation? Doing so makes it easier for implementation but more difficult for subsequent institutionalization.
>
> **DILEMMA 2. Entrepreneur or Manager?** Should someone be chosen to lead the school improvement effort who is charismatic and inspirational or patient, low-key, and systematic? The former is likely to be the more successful type of leader during implementation, but the latter is likely to be the more successful leader during institutionalization.
>
> **DILEMMA 3. Going for Broke?** Should the school improvement effort start on a small scale, enlisting only highly competent volunteers, or should it start out on a wider scale involving a cross-section of teachers on a mandatory or near-mandatory basis? Initial implementation will be much smoother and more successful under the first option, but if the second option is chosen and initial implementation is ultimately successful, then systemwide diffusion and institutionalization will be more easily achieved.

The trainer may want to review the article "Strategic Planning Issues That Bear on the Success of School Improvement Efforts" before conducting this activity.

I. Awareness Level

We recommend using the handout "Institutionalization Dilemmas" to provide a chance for participants to think about and discuss everything they've learned in the previous activities and discuss their learnings among themselves. Divide participants into groups of 4-6, letting each group select one dilemma to discuss. We suggest that directions

from the trainer be minimal. Since they are discussing dilemmas, they need not come to any resolution. What is important in this activity is the chance to process the material.

Allowing five minutes to set up and 20-25 minutes for discussion, with a 10-minute debriefing on each dilemma should be sufficient.

II. Action Level

We suggest that the trainer distribute the handout "Institutionalization Dilemmas" and ask participants to decide which of the three dilemmas they would like to think about and discuss in relation to an innovation they are currently working on. In groups of three, participants will discuss one dilemma. Encourage participants to make sure that each dilemma is discussed by at least one group. Teams who have been working together may at this point wish to split up so that each member of the team works on a different dilemma.

Ask participants if they have found themselves in any of these situations. If so, what happened? How did they resolve it? Each participant is to think about these questions, then discuss the answers in her or his dilemma-alike group. Allow 5 minutes for thinking and 10 minutes for each participant in each three-person group to talk and get feedback. It is this sharing of experiences and feedback from peers that is the real value of this activity.

Another 15-20 minutes will be required for the group report out, which we suggest be conducted dilemma by dilemma, with each group sharing its most significant learnings or conclusions. Ideally, the group will offer examples of both sides of each dilemma, reinforcing the notion that these are, indeed, dilemmas with which every organization will struggle anew with each innovation.

Institutionalization Dilemmas

DILEMMA 1. Teacher's Pet? Should innovations be given a special status and exemptions from certain policy guidelines during implementation? Doing so makes it easier for implementation, but more difficult for subsequent institutionalization.

DILEMMA 2. Entrepreneur or Manager? Should someone be chosen to lead the school improvement effort who is charismatic and inspirational or patient, low-key, and systematic? The former is likely to be the more successful type of leader during implementation, but the latter is likely to be the more successful leader during institutionalization.

DILEMMA 3. Going for Broke? Should the school improvement effort start on a small scale, enlisting only highly competent volunteers or should it start out on a wider scale involving a cross-section of teachers on a mandatory or near-mandatory basis? Initial implementation will be much smoother and more successful under the first option, but if the second option is chosen and initial implementation is ultimately successful, then systemwide diffusion and institutionalization will be more easily achieved.

ACTIVITY 5

Developing Implementation-Institutionalization Plans

The purpose of this closing activity is to help participants begin to plan the necessary steps and strategies to keep in place an innovation that is successfully meeting their organization's goals or needs. We encourage the trainer to look over the worksheets provided and, especially at the action level, to shape them to best meet participant needs.

I. Awareness Level

Although participants at the awareness level may not have a specific innovation in mind, they nevertheless can begin to think about and identify resources (people, materials, space, money) they would need if they were to plan to institutionalize an innovation. Encourage those who do not have an actual innovation in mind to choose one that might be relevant to their own situations.

Recalling the Supports and Threats to Institutionalization from Activity 3, particularly the Figure, "Data-Grounded Model of Institutionalization," ask participants to work alone or in small groups to complete Worksheets I and II. Allow 35-40 minutes.

The major assumption behind this exercise is that for the project to successfully endure, key *decision makers must know about and VALUE the program and COMMIT the resources necessary to continue its operation, and that the institutional base must have the capacity* to maintain the project, in terms of personnel, facilities, equipment, and time.

You may wish to provide Worksheet III to participants to take home with them for future use and reference.

Close this activity and the workshop by summarizing the major points to consider in planning to institutionalize an innovation. The overhead of workshop objectives provides a means of wrapping up and reminding participants why they came -- to learn what institutionalization means and the conditions that affect its appropriateness.

The trainer is encouraged to use the evaluation form included in the introductory materials.

II. Action Level

We assume that most participants at the action level have been involved in implementing an innovation they might now wish to institutionalize. Worksheets I and II lay the groundwork for completing Worksheet III, their Program for Institutionalization. Depending on time, you may want to ask participants to complete Worksheets I and II individually and then form small groups (especially teams) to complete Worksheet III. Should you allot time to discuss Worksheets I and II, you'll find that Worksheet I, in particular, lends itself to a discussion of the importance of key decision makers' attitudes toward and levels of commitment to an innovation and can serve as a quick reminder of the lessons participants have learned if they have ever tried to institutionalize an innovation.

When completed, Worksheets I and II, along with the handouts on factors influencing institutionalization, should help participants develop a program for institutionalizing their project. A carefully completed planning sheet (Worksheet III) will be a useful tool in implementing a strategy to begin movement toward their goals. Worksheets I and II may need to be reviewed and revised as participants complete each set of action steps of Worksheet III. The instructions for Worksheet III are on the worksheet.

Allow 20 minutes (10 minutes each) for completing Worksheets I and II (another 20 minutes for discussion, if you choose), and an additional hour for completing Worksheet III, referring back to Worksheets I and II, and summarizing the module.

Although each individual's or team's responses to Worksheet III will be different, all should have taken into account the aspects of institutionalization addressed in this training module:

- the indicators of institutionalization;
- determining when it's appropriate;
- factors that support and threaten institutionalization; and
- the dilemmas of institutionalization.

You may wish to use a discussion of Worksheet III as a way to summarize. The overhead of workshop objectives also provide a means of wrapping up. We encourage you to use the evaluation form included in the introductory materials.

Worksheet I

Identifying Decision Makers and Opinion Leaders

The steps below, which refer to the accompanying chart, will help you identify the *key decision makers* whose support is necessary for an innovation to stay effectively in place over time.

STEP 1: State the innovation you want to institutionalize.

STEP 2: List the names of all persons or groups (e.g., advisory board, school board, parent group) whose decisions will or could influence your ability to make the innovation stick. The list should include "official" decision makers, opinion leaders, and gatekeepers in the system, as well as those who have influence but do not have "official" status. Don't forget yourself, if appropriate.

STEP 3: Beside each name, list that person's official role within your organization.

STEP 4: Now list the nature of each person's power or influence: control of resources (money, space, equipment) programmatic control, or procedural control (credibility among peers or selection and assignment of personnel).

Identifying Decision Makers and Opinion Leaders

State the innovation being institutionalized:

Person or Group	"Official" Role	Nature of Control or Influence (political/resources/ opinion leader)

Worksheet II

Identifying Institutionalization Requirements

Worksheet I asked you to identify key decision makers and opinion leaders whose support is likely to be necessary for an innovation to endure. This worksheet asks you to identify others who will play an essential role in maintaining an innovation.

STEP 1: Name the innovation you are planning to institutionalize at the top of the accompanying chart.

STEP 2: List the personnel (by role group or name -- include community groups, parents, students, and teachers, as well as administrators) whose commitment is necessary to ensure that the innovation you have chosen becomes an enduring part of your organization's program.

STEP 3: For each person listed in column 1 state the skills, knowledge, or training the person/group needs to acquire in order to be a regular user/supporter of the program/practice.

STEP 4: Estimate the percent of each person's or group's time that will be required to maintain and apply the necessary skills.

STEP 5: List the materials and equipment needed to maintain the program or practice as desired each year. Plan for the long-term.

Identifying Institutionalization Requirements

State the innovation being institutionalized:

Required Key Decision Maker or Personnel	Required Knowledge, Skills, Training	% Time	Materials/ Equipment

Worksheet III
Developing a Program for Institutionalization

State the innovation _____

I. **Establishing Goals for Institutionalization**

A. Based on what you know of the conditions in your organization and community, what three actions related to institutionalizing the innovation into your organization's policies, practices, and programs would you like to see accomplished during the next month?

1. _____
2. _____
3. _____

II. **Identifying Your Role in Assisting Institutionalization**

A. What actions are you willing to take to assist the achievement of the goals you have outlined above? When will you take these steps?

Action Steps	Time of Completion
1. _____	
2. _____	
3. _____	
4. _____	
5. _____	
6. _____	

III. **Identifying Barriers and Support for Institutionalization**

A. What are the important barriers that you will encounter in working toward the goals that you have selected (e.g., attitude of community that there is no money, poor image of schools, lack of commitment of key decision makers)?

_____

_____

_____

B. What supports will you have in working toward your objectives (e.g., political pressure to improve basic skills, successful evaluation data)?

_____

_____

IV. Needed Resources

A. What further information and resources will you need in order to achieve institutionalization? Where can you obtain further assistance?

Needs	Resources for Assistance

V. Reinforcement

A. How can you reinforce yourself and others as you achieve steps toward institutionalization?

_____

_____

VI. Measuring Success

A. Remembering the indicators of institutionalization (Activity 1), what are some measures you can use to determine how successful you are being, and when will you check?

	Measure	When To Apply
1.		
2.		
3.		
4.		
5.		
6.		